

JOHN S. WILLIAMS
PUBLIC ADMINISTRATOR
PUBLIC GUARDIAN



BUSINESS PLAN 2007



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PUBLIC ADMINISTRATOR/PUBLIC GUARDIAN DEPARTMENT 2007

I am pleased to present the Orange County Public Administrator/
Public Guardian Department's 2007 Business Plan.

The year 2007 will be a rewarding one as we move forward in our second year as an independent department. We welcome the opportunity to demonstrate the outstanding work our team provides to the people of Orange County in order to fulfill our mission:

"The Public Administrator/Public Guardian Department is committed, when no viable alternatives exist, to compassionately and effectively protect, assist and manage the affairs of resident decedent estates and residents unable to care for themselves or who may be a danger to themselves or others."

Our 70 dedicated staff members are committed to improving the lives of our clients and managing their affairs. I encourage you to read our Business Plan to further see this dedication.

Sincerely,

A handwritten signature in blue ink that reads "John S. Williams".

John S. Williams
Public Administrator/Public Guardian

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EXECUTIVE SUMMARY

MISSION STATEMENT

The Public Administrator/Public Guardian Department is committed, when no viable alternatives exist, to compassionately and effectively protect, assist and manage the affairs of resident decedent estates and residents unable to care for themselves or who may be a danger to themselves or others.

Objectives

1. Timely and effectively protect and administer decedent estates when there are no other viable persons or entities to administer the estates.

The Public Administrator (PA) protects the assets and manages the affairs of deceased residents of Orange County who at the time of death left no known heirs, no will, no named executor or an executor who is ineligible. The PA searches for assets belonging to the decedent, makes a search for heirs, arranges for the interment when there are no known relatives, and acts as administrator of estates when named in a will or when heirs request such service.

2. Compassionately and efficiently serve as the conservator of persons and estates until viable alternatives are available or the person is no longer a danger to themselves or others.

The Public Guardian/Probate Conservator responds to referrals from Adult Protective Services, local law enforcement agencies, designated mental health facilities and the Superior Court to investigate persons who are unable to properly provide for their personal needs of physical health, food, clothing or shelter, who are a danger to themselves or others, who are at risk of undue influence by others, or whose property is subject to loss, injury, waste or mismanagement. When appointed by the Court, the Public Guardian assumes responsibility for care of the person and his or her assets.

2007 Public Administrator/Public Guardian Goals

1. Implement the continuing education requirements of new California legislation, the Jones Bill, (AB 1363), by developing plans to provide training for all deputized staff using on-site, on-line and off-site training.
2. Implement policies and procedures that will enable all Social Security Administration (SSA) and Supplemental Security Income (SSI) checks of the Public Guardian's conservatees to be directly deposited into bank accounts to eliminate the need to manually process thousands of such checks each month.
3. Implement policies to save energy and improve the environment by converting the Public Administrator/Public Guardian fleet of cars to Compressed Natural Gas (CNG); installing a CNG fueling station; and providing alternative work week schedules for employees.
4. Implement pilot programs for Public Administrator/Public Guardian investigative deputies to utilize technological advances such as laptops with remote access and advanced cell phones to enable the deputies to operate more efficiently.
5. Continue to implement and refine new methods of selling personal property and motor vehicles of the estates to maximize estate values and reducing staff time related to managing personal property.



John S. Williams
Public Administrator/Public Guardian



Public Administrator/Public Guardian Staff Members

OPERATIONAL PLAN

Objective #1: Timely and effectively protect and administer decedent estates when there are no other viable persons or entities to administer the estates.

Objective #2: Compassionately and efficiently serve as the conservator of persons and estates until viable alternatives are available or the person is no longer a danger to themselves or others.

Clients: The primary clients of the Public Administrator (PA) are the estates of decedent residents of Orange County or decedent non-residents who died within Orange County who at the time of death have left no will and/or have no one available or appropriate to administer the estate. A secondary client of the Public Administrator is the Probate Court that authorizes the administration of the estates.

The primary clients of the Public Guardian (PG) are Probate conservatees and Lanterman-Petris-Short (LPS) conservatees who (1) have no family; (2) have family members who are unable to effectively act because of illness, geographic location or other circumstances; (3) have been exploited or neglected by friends, families or themselves; and/or (4) have no viable alternatives to conservatorship. Probate conservatees are primarily dependent adults that have been determined by a Probate Court to be unable to properly provide for his or her personal needs. LPS conservatees are adults that have been determined by the Superior Court to be gravely disabled as a result of a chronic mental disorder as diagnosed by designated psychiatric facilities.

Resources: Non-general fund revenues account for over 50% of the Public Administrator/Public Guardian budget and are from various sources, including:

- Interest earned on clients' cash assets invested in the Orange County Investment Pool. The clients receive a statutory mandated amount of interest on their cash assets. Excess interest is allocated to the County General Fund as required by statute, but is not directly applied or attributed to revenues of the Public Administrator/Public Guardian.
- Statutory, Conservator and Extraordinary Probate Fees for administering decedent and conservatee estates.
- Attorneys Fees for administering estates.
- Cost Apply funds from Health Care Agency and Social Services Agency from federal, state and/or county sources.
- Funds from the federally administered Targeted Case Management Medi-Cal program for qualified Public Guardian clients.
- Reimbursement for costs such as personal property storage.

Public Administrator Strategies:

- Evaluate the Public Administrator's ability and methods for proactively identifying property that is subject to loss, injury, waste or misappropriation and develop procedures that initiate more proactive involvement.
- Evaluate the methodology and tools available for identifying decedent estate property and heirs.
- Educate the general public and stakeholders concerning the role of the Public Administrator in the protection and location of estate assets.
- Continue to evaluate procedures that enable the Public Administrator to communicate with outside organizations regarding estate administration, including but not limited to, the Court System, Federal and State tax authorities, and other City, County, State and Federal agencies.
- Request one additional Public Administrator Deputy at no cost to the General Fund to enable the department to appropriately administer estates that are currently referred to third parties.

Public Guardian Strategies:

- Meet regularly with the judge presiding over mental health related hearings, the Public Defender's Office and mental health personnel to continue the effective structure of LPS court hearings.
- Evaluate the methodology and tools available for identifying conservatee property and family.
- Educate the general public concerning the role of Public Guardian in the protection of exploited or neglected residents.
- Assess all elderly LPS conservatees suffering from some form of dementia that should be converted to Probate conservatees and evaluate the steps necessary to effectively allow the conversion.
- Continue to train deputies and staff concerning the administration of the new Medicare Part D prescription drug program and evaluate the staff resources required to administer the program to determine the most efficient method for administering the program.
- Continue to monitor the federally administered Targeted Case Management Medi-Cal program to determine the program's status and assist the County lobbyist as necessary to encourage continued funding.
- Implement policies and procedures that will enable all SSA and SSI checks of conservatees to be directly deposited into bank accounts to eliminate the need to manually process thousands of such checks each month.

Public Administrator/Public Guardian Department-Wide Strategies:

- Continue efforts to replace the current ePages case management and accounting computer database through 2008.
- Continue to conduct a thorough analysis of policies and procedures in order to more effectively manage and measure performance and success.
- Implement pilot programs for Public Administrator/Public Guardian investigative deputies to utilize technological advances such as laptops with remote access and advanced cell phones to enable the deputies to operate more efficiently.
- Request two additional Public Guardian deputies, two additional clerical and two additional accounting staff members in order to comply with the requirements placed on PA/PG by new legislation, (AB 1363).
- Improve staff performance and morale through effective training and recognition.
- Identify and develop employees for advancement into supervisory and management positions.
- Evaluate new resources for the sale of real property, including on-line auction sites.
- Continue to evaluate and improve the methods and effectiveness of the current estate asset inventory methods and determine and implement procedures that will expedite and streamline the process.
- Continue to evaluate and improve changes where necessary to the current processes for inventorying, warehousing and selling estate assets that maximize the value to the estates.
- Continue procedures utilizing paid, third-party witnesses, when necessary.
- Finalize implementation of safeguards and procedures recommended by the recent Internal Auditor report regarding inventory and accounting procedures for client assets.
- Establish financial models that will project annual and long-term revenues and expenditures.
- Allocate budget resources to implement and refine new methods of selling personal property and motor vehicles to maximize estate values and reducing staff time related to managing personal property.
- Implement policies to save energy and improve the environment by converting the PA/PG fleet of cars to Compressed Natural Gas (CNG); installing a CNG fueling station; and providing alternative work week schedules for employees.

Public Administrator Key Measured Performance Outcome Indicators:

Performance Measure	FY 05-06 Results	FY 06-07 Plan	FY 06-07 Anticipated Results	FY 07-08 Plan	How are we doing?
PERCENTAGE OF REFERRED PA CASES CLOSED WITHIN 24 MONTHS What: Measurement of Public Administrator cases closed in a reasonable amount of time. Why: This measures the efficiency of administering estates.	89%	89%	90%	91%	Use of expanded heir search system has expedited results

Performance Measure	FY 05-06 Results	FY 06-07 Plan	FY 06-07 Anticipated Results	FY 07-08 Plan	How are we doing?
PERCENTAGE OF SUCCESSFUL HEIR SEARCHES BY PUBLIC ADMINISTRATOR What: Measurement of successful heir searches against total number of cases referred to department. Why: This measures the success of heir searches.	94%	97%	97%	97%	Use of expanded heir search system has improved search results

Public Guardian Key Measured Performance Outcome Indicators:

Performance Measure	FY 05-06 Results	FY 06-07 Plan	FY 06-07 Anticipated Results	FY 07-08 Plan	How are we doing?
AVERAGE NUMBER OF LPS CONSERVATEES PER ADMINISTRATIVE DEPUTY What: Measurement of caseload for each Deputy Why: Most effective caseload is between 75 and 80 per Deputy.	82	80	80	78	Staff level to case load ratio is within effective range
AVERAGE NUMBER OF PROBATE CONSERVATEES PER ADMINISTRATIVE DEPUTY What: Measurement of caseload for each Deputy Why: Most effective caseload is between 45 and 60 per Deputy.	60	60	60	58	Staff level to caseload ratio is at maximum

Public Administrator/Public Guardian Special Project Measurement

Performance Measure	FY 05-06 Results	FY 06-07 Plan	FY 06-07 Anticipated Results	FY 07-08 Plan	How are we doing?
IMPLEMENTATION OF NEW CASE MANAGEMENT AND ACCOUNTING DATABASE TO REPLACE CURRENT SYSTEM What: Measure progress of system selection/integration for new data base system to be completed by FY 2007-2008 Why: Timely implementation of new software database to replace existing outdated system.	Feasibility study conducted	Request for Proposal (RFP) developed	Proposals reviewed and anticipate vendor selection.	Initial testing, migration and full integration	The process to select the replacement of the database system is in progress.

Highlights of 2006 Public Administrator Accomplishments

- Processed 1,291 new referrals to determine if the Public Administrator should investigate the estates.
- Investigated 683 referrals to determine if the Public Administrator should administer the estates or transfer responsibility to alternative administrators.
- Administered 74 new Public Administrator decedent estates.
- Processed over 2,780 financial transactions on behalf of Public Administrator decedent estates.

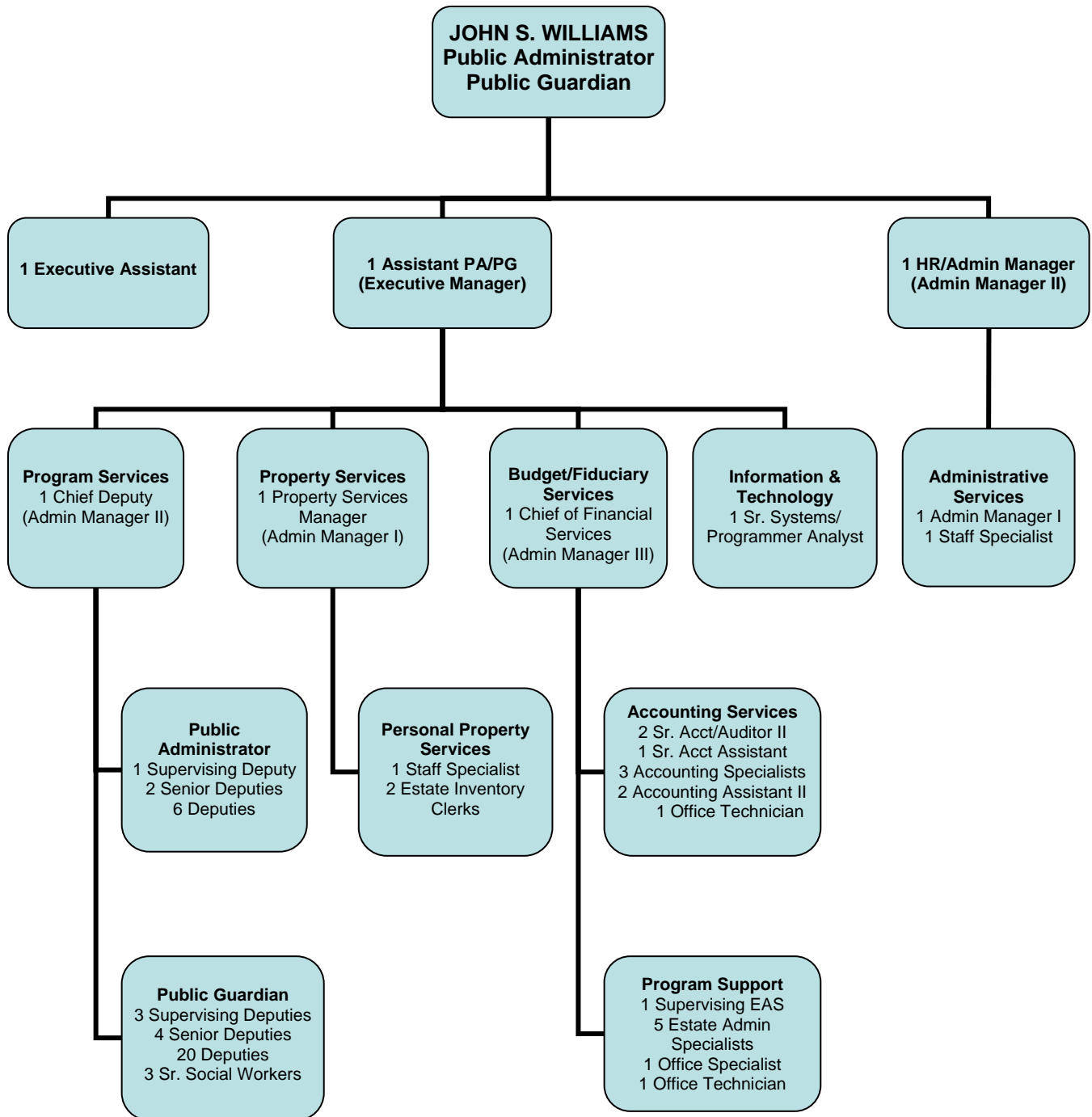
Highlights of 2006 Public Guardian Accomplishments

- Worked with the Public Defender's Office, the Superior Court and Health Care Agency/Behavioral Health to change the manner in which LPS Conservatorships are created. This new procedure adheres strictly to the law and enables conservatees to get a hearing with the Court within 30 days. This has reduced jury and court trial requests and additional discovery requirements that was diverting the Public Guardian from its primary responsibility of caring for its clients.
- Processed 794 new referrals to determine if a client needs a conservator, if the Public Guardian should act as conservator, or if the Court should appoint a third party to act as conservator.
- Investigated 708 referrals to determine if a client needs a conservator, if the Public Guardian should act as conservator, or if the Court should appoint a third party to act as conservator.
- Acted as the conservator for 1,185 conservatees.
- Successfully enrolled approximately 500 conservatees in the new Medicare Part D prescription drug program.
- The Probate unit recovered and/or protected over \$14,000,000 in assets that were stolen from conservatees.
- Processed approximately 42,350 financial transactions on behalf of the Public Guardian conservatee estates.
- Scheduled 3,930 mental health related hearings on behalf of the LPS conservatees.

Highlights of 2006
Public Administrator/Public Guardian
Department-Wide Accomplishments

- Successfully conducted personal property auctions using a new format of selling the entire estates in single lots which enhances the value of the estate assets.
- Conducted three real property auctions to benefit decedent and conservatee estates and sold nearly \$8,470,000 in property.
- Contracted with wholesale automobile auction house to sell estate vehicles more quickly, for more money and with less potential liability.
- Prepared and filed approximately 750 tax returns, including individual, fiduciary, estate, sales, employer and renter's assistance returns, on behalf of decedent and conservatee estates.
- Consolidated all Public Administrator/Public Guardian Deputy staff into one location in order to maximize efficiency.
- Continued efforts to achieve mutually acceptable solutions to workplace issues through Caseload Management Forum.
- Conducted recruitments and filled all vacant positions.

APPENDIX A ORGANIZATIONAL CHART



APPENDIX B MANAGEMENT TEAM

John S. Williams	Public Administrator/Public Guardian
Bruce Peotter	Assistant PA/PG
Peggi Buff	Executive Assistant
Frank Tuanai	Chief of Financial Services
Ann Barlow	HR/Admin Manager
Connie Draxler	Chief Deputy PA/PG
Mark Johnson	Property Services Manager

APPENDIX C

CASELOAD MANAGEMENT FORUM

Kay Campbell
Connie Draxler
Cam-Tu Ha
Teara LeBlanc
Diana Mendez
Robert Mull
Bruce Peotter
Shelia Roberge
Sheridan Rose